

NCOA^{Link}TM Service Providers Continuity of Operations Site Certification Information & Procedures

Disaster recovery and back up systems are necessary tools which insure the continuity of operations for all business. The USPS understands the need for NCOA^{Link} processing facilities to establish back-up or recovery sites to complete the continuity of operations. However understanding this need the USPS will have sole approval of back-up sites and each will be determined on a case by case basis.

The following procedures and materials outline the requirements to perform NCOA^{Link} processing at Licensee's Back-up site(s) in the event of a disaster. Production processing at the back-up site is only applicable in the event of a disaster and **must** be pre-approved by the USPS. The Back – up site **shall not** be used for overflow processing.

The NCOA^{Link} Licensee site must be unable to process/update mail for a period of 12 hours, prior to the USPS activating the Licensee's back-up site for distribution of the NCOA^{Link} Production data. Once the Back-up site is activated, the Primary Licensed site will be deactivated to prohibit distribution of the NCOA^{Link} Production data. No simultaneous processing shall occur.

The Back-up site(s) shall be held to the same terms and condition of the License Agreement and Licensee Performance Requirements as the primary NCOA^{Link} Licensee(s) site. It is the responsibility of the NCOA^{Link} Primary Licensee site to educate the certified back – up site(s) regarding all terms, conditions and requirements of the NCOA^{Link} License Agreement and Performance Requirements. Back up sites must be owned and operated by licensee.

A certification package must be completed for each back - up site seeking to provide NCOA^{Link} processing. Information necessary to complete all steps of the certification process is included.

Prior to the licensed site to begin NCOA^{Link} processing; the Licensee will be required to complete an NCOA^{Link} re-certification process, which includes processing an NCOA^{Link} audit.

Completed applications must be submitted to the USPS at:

NCOA^{Link} PRODUCT DEPARTMENT
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PKWY STE 201
MEMPHIS TN 38188-0001

Step 1. Application and Self-Certification Statement Approval

The following documentation must be completed and submitted by the Licensee's back-up contact(s) and approved by the USPS:

- Application
- Confidentiality Statement
- Self-Certification Statement
- Key Personnel Listing
- Web Access Request Form
- Security Documentation - Site Security Review Worksheet

USPS will notify Applicant if it determines that Applicant has completed Step 1 to the satisfaction of USPS.

Step 2. Software Acquisition

Upon satisfaction of Step 1 requirements, USPS will provide the back-up site with an authorization code necessary to obtain NCOA^{Link} software. The back-up site may receive software certified by USPS (authorization code required) from an NCOA^{Link} software distributor that has entered into a license agreement with USPS.

Please Note: In the event of a disaster, this code will be used to receive NCOA^{Link} software from an NCOA^{Link} Licensed Distributor.

Once USPS certified NCOA^{Link} software is received the Back - up site must notify the USPS to receive the NCOA^{Link} test data via express mail (two DVD's) and may proceed to Step 3.

Step 3. NCOA^{Link} Testing & Certification

A written request and a Software Product Information Form requesting that USPS perform an NCOA^{Link} certification test must be submitted to the USPS. Once received, the USPS will notify the Back - up site when it has sent a test file. (While NCOA^{Link} testing usually occurs remotely, USPS reserves the right to perform testing on-site.)

The following items are tested in Step 3:

- Ability to correctly process test files
- Ability to provide new addresses in accordance with NCOA^{Link} Product requirements
- Ability to produce output file with appended flags
- Understanding and performance of administrative requirements which includes processing the certification test and submitting the proper paper work and/or reports.

If USPS determines that the Back - up site fails the initial certification test, the Back - up site may submit to USPS a written request for an additional certification test. USPS will require payment of \$1,000.00 for each additional certification test.

Step 4. Certification Approval

Upon USPS determining that the Back - up site has successfully completed Steps 1 – 3, USPS will issue a certification notice to provide NCOA^{Link} processing for the primary site in the event of a disaster or outages of 12 hours or more **only**, NCOA^{Link} Production DVD's will not be distributed until such time. Official notification must be provided to the USPS detailing the request for NCOA^{Link} processing and distribution for the back-up site.

Step 1
NCOA^{Link}™ Service Providers Continuity of Operations Site Application

Please Print:

Licensee Company Name: _____

Provide Licensee Site Authorization Code: _____

Back – Up Site Information:

Company Name: _____

Company Address: _____

City: _____ State: _____ ZIP+4: _____

Tax ID No. (TIN): _____ North American Industry Classification System (NAICS): _____

Telephone No.: _____ Fax No.: _____

Contact Name: _____

E-mail Address: _____

Service Level: ☐ Full Service ☐ Limited Service

ANK^{Link} Option: ☐ YES ☐ NO

(applicable to Limited Service Provider and End User levels only)

Site Identification:

Back – Up Site Authorization Code (Assigned by USPS): _____

Terms and Conditions of Application for Back – Up Site

1. The United States Postal Service NCOA^{Link} Product may only be used by the Back – up site on behalf of the NCOA^{Link} Primary Licensee site (as noted above); in the event of a disaster or outage of 12 hours or more, to update existing mailing lists that are used to prepare mail for the purpose of acceptance and delivery by the United States Postal Service.
2. The back – up site must demonstrate its capability of mailing list preparation to the sole satisfaction of the USPS. **The Applicant must submit the Self-Certification Statement, along with this application** to enable USPS to make this determination. This information should include a description of the applicant's business and mailing-related functions and its experience in this field. Refer to the page titled "Self-Certification Statement" for the minimum specific information that must be provided.
3. Prior to consideration as a certified NCOA^{Link} Back – up site, the customer must demonstrate that the software system to be used has obtained USPS certification.
4. No NCOA^{Link} certification will be granted to the Back – up site prior to USPS acceptance testing and approval of the applicant's specific NCOA^{Link} software.
5. The back – up site must be in good standing under all existing license agreements with USPS, if any, and has received no notice of warning, suspension or termination from USPS relating either to a current or expired USPS license agreement.

6. The Back – up site shall submit written notice to USPS of any material change to the information submitted as part of the application and supporting documents within thirty (30) days of the occurrence of such change.
7. The NCOA^{Link} back – up site shall not be used for overflow processing.
8. Annual testing may be performed internally at the Back-up site to ensure that in the event of a true disaster, the complete production process maintains its integrity and performance. Prior to such testing the USPS **must be** notified in writing and this process will be reviewed for approval.
9. The Back-up site(s) shall be held to the same terms and condition of the License Agreement and Licensee Performance Requirements as the primary NCOA^{Link} Licensee(s) site.
10. It is the responsibility of the NCOA^{Link} Primary Licensee site to educate the certified back – up site(s) regarding all terms, conditions and requirements of the NCOA^{Link} License Agreement and Performance Requirements.
11. All NCOA^{Link} processing must be performed using the USPS assigned back – up site platform ID and must be linked in such a way to identify the List Owner Processing Acknowledgement Form (PAF) information.
12. The Back – up site(s) must submit an NCOA^{Link} Monthly Customer Service Log.

I hereby affirm that I have read and fully understand the terms and conditions listed above. I, my company, and/or firm agree to meet these terms and conditions as a prerequisite to applying for or obtaining USPS NCOA^{Link} Certification.

I affirm that I am an officer of the company, firm or organization and that I possess all necessary legal authority to sign on behalf of the company, firm, or organization. The materials submitted to USPS are true and complete to the best of my knowledge and belief. I understand that submission of false, fictitious or fraudulent statements or representations may be grounds for USPS terminating or suspending any License Agreement and may be punishable by fine or imprisonment (U.S. Code, Title 18, Section 1001).

Back-up Site Name: _____

By: _____ (Signature)

Name (please print): _____

Title: _____

Date: _____

Step 1
**NCOA^{Link™} Service Providers Continuity of Operations Site
Confidentiality Statement**

All material supplied in connection with the application for and use of NCOA^{Link} Product contains trade secrets and/or confidential technical, commercial, or other information not generally available to the public. This document, and all other material provided in connection with NCOA^{Link} technology and the data and information contained therein shall not be used, duplicated or disclosed to third parties, in whole or in part, for any purpose, without the prior express written consent of the United States Postal Service.

I hereby affirm that I have read and fully understand the terms and conditions listed above. I, my company, and/or firm agree to meet these terms and conditions as a prerequisite to using the NCOA^{Link} Product. I, my company, and/or firm further agree to continue to abide by this Confidentiality Statement whether or not the USPS awards an NCOA^{Link} Certification to me, my company, and/or firm. This Confidentiality Statement shall not be superseded by the award or entry into of an NCOA^{Link} License or any other agreement with the United States Postal Service, unless such agreement specifically refers to this Confidentiality Statement. I affirm that I am an officer of the company, firm or organization and that I possess all necessary legal authority to sign on behalf of the company, firm, or organization.

Product Name _____ NCOA^{Link} Product _____

Company Name (please print): _____

Name (please print): _____

Title: _____

Signature: _____ Date: _____

Please sign and return to:
NCOA^{Link} CERTIFICATION DEPARTMENT
NATIONAL CUSTOMER SUPPORT CENTER
UNITED STATES POSTAL SERVICE
6060 PRIMACY PKWY STE 201
MEMPHIS TN 38188-0001

Step 1
**NCOA^{Link} Service Providers Continuity of Operations Site
Self-Certification Statements**

The following provides clarification and specifics for Item 2 of the Application. This must be provided for evaluation along with the Application.

1. Provide a copy of the Licensee Disaster recovery plan as it relates to NCOA^{Link} processing and service offering.
2. A narrative describing the nature of the back – up site business, with emphasis on its mailing-related functions and experience in this business.
3. Key Personnel list (attached)
4. Centralized distribution email address (refer to Section 8.10 in the Full Service Licensee Performance Requirements and Section 7.10 in the Limited Service Provider Licensee Performance Requirements) _____
5. PS Form 1357-W, Web Access Request Form (to obtain a current copy of this document, please visit <http://www.usps.com/forms/pdf/ps1357w.pdf>)
6. Security Documentation (to obtain a current copy of this document , please visit <http://www.ribbs.usps.gov/files/ncoalink/SITESECURITYREVIEW.PDF>)

After review of the provided information, the USPS will notify the applicant in writing of the acceptance or rejection of its application.

Step 1
NCOA^{Link} Service Providers Continuity of Operations Site
Key Personnel

LICENSING CONTACT: (Primary contacts for licensing issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - Ext: _____ FAX: () -
Primary Contact: _____
Phone: () - Email: _____
Alternate Contact 1: _____
Phone: () - Email: _____
Alternate Contact 2: _____
Phone: () - Email: _____

SITE CONTACT: (Primary contacts for operational issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - Ext: _____ FAX: () -
Primary Contact: _____
Phone: () - Email: _____
Alternate Contact 1: _____
Phone: () - Email: _____
Alternate Contact 2: _____
Phone: () - Email: _____

MEDIA CONTACT: (Primary contacts for data fulfillment)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - Ext: _____ FAX: () -
Primary Contact: _____
Phone: () - Email: _____
Alternate Contact 1: _____
Phone: () - Email: _____
Alternate Contact 2: _____
Phone: () - Email: _____

Step 1
NCOA^{Link} Service Providers Continuity of Operations Site
Key Personnel

TECHNICAL CONTACT: (Primary contacts for technical issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____

MARKETING CONTACT: (Information to be posted on USPS RIBBS Website ☐ YES ☐ NO)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____
Company Web site: _____
Customer Service Email: _____
Customer Service Phone: _____

BILLING CONTACT: (Primary contacts for billing issues)

Company Name: _____
Address: _____
City: _____ State: _____ ZIP+4: _____ -
Phone: () - _____ Ext: _____ FAX: () - _____
Primary Contact: _____
Phone: () - _____ Email: _____
Alternate Contact 1: _____
Phone: () - _____ Email: _____
Alternate Contact 2: _____
Phone: () - _____ Email: _____

Step 1

NCOA^{Link} Service Providers Continuity of Operations Site Security Documentation

Provide a description of the specific measures taken to secure the physical and electronic environments in which the NCOA^{Link} system will reside. (Attach separate documents if necessary.) If descriptions are not clear or further clarification is needed, a diagram may be required.

The name(s) and address(es) of all parent, subsidiary and/or affiliate companies or entities ("related entities"), together with the following for each: (a) state of incorporation or registration, and (b) principal place of business.

Provide a list of all internal files/lists/databases and those of related entities which will be processed through licensee applicant's NCOA^{Link} system. Identify relational databases in this list.

In addition to the information above, a separate Site Security Review Worksheet must also be completed. This worksheet may be downloaded from:

<http://www.ribbs.usps.gov/files/ncoalink/SITESECURITYREVIEW.PDF>

Step 3

NCOA^{Link} Service Providers Continuity of Operations Site Software Product Information

Hardware and software used to interface with the NCOA^{Link} data:

Company Name & License Number : _____

Back – UP Site Platform ID : _____

Platform or Operating System : _____

NCOA^{Link} Software Vendor : _____

NCOA^{Link} Software Product Name : _____

NCOA^{Link} Software Product Version : _____

Is Software Hardware Dependent? : _____

Address Matching ZIP+4 Product Name : _____

Address Matching ZIP+4 Product Version: _____

Address Matching ZIP+4 System: **PLEASE CHECK ONE:**

- ☐ Open System – Defined as having the ability to modify, adjust, or tweak the application in a manner that will affect the applications ZIP+4 matching decisions. Licensees using an Open System must independently obtain CASS certification for the system.
- ☐ Closed System – Defined as **NOT** having the ability to modify, adjust, or tweak the application in a manner that will affect the applications ZIP+4 matching selection or decisions. Licensees using a Closed System will not be required to obtain separate CASS certification for the system.

Delivery Point Validation Product Name : _____

Delivery Point Validation Product Version : _____

NCOA^{Link} Software options:

- ☐ Integrated – Address Matching and NCOA^{Link} software are integrated into a single software package.
- ☐ Standalone – Address Matching and NCOA^{Link} software are separate software packages.
- ☐ ANK^{Link} Enhancement **(applicable to Limited Service Provider and End User levels only)**
- ☐ **HASH** ☐ **FLAT** ☐ **BOTH**

Service Level Option:

- ☐ Full Service Provider
- ☐ Limited Service Provider

NOTE: Checklists for all supporting documents will be available at time of testing. The USPS shall not be obligated to pay any costs incurred in preparing any technical proposal, software development costs, or testing costs regardless of whether or not the USPS awards an NCOA^{Link} License to the applicant.

Note: Please mark any item as N/A if it is not applicable.

Step 4
**NCOA^{Link} Service Providers Continuity of Operations Site
Certification Approval**

Upon USPS determining that the Back - up site has successfully completed Steps 1 – 3, USPS will issue a certification notice to provide NCOA^{Link} processing for the Licensed site in the event of a disaster only, NCOA^{Link} Production DVD's will not be distributed until such time. Official notification must be provided to the USPS detailing the request for NCOA^{Link} processing and distribution for the back-up site.

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